

Chair	Pam Rowe
Corporation Member	Tom Flynn, Lalage Clay
Co-opted Member	John Turnbull
In Attendance	Principal & CEO: Paul Stephen Chief Operating Officer (COO): Judith Abbott Deputy CEO: Jamie Purser Finance Director, Pieter Vermeulen RSM, External Audit Service: Hannah Catchpool / Suzy Harper Scrutton Bland, Internal Audit Service: Paul Goddard / Ryan Pearce
Clerk to the Corporation	Judith Nelson

Item No	Item of business
PRELIMINARY PROCEDURAL MATTERS	
1.	Chair's Welcome & Opening Remarks The Chair welcomed and gave a vote of thanks to Tom Flynn, Corporation Governor for joining the membership of this committee. Chair also made the committee aware that Lalage Clay, also a Corporation Governor, has joined this committee, but sent her apologies for this meeting.
2.	Apologies For Absence <ul style="list-style-type: none"> ▪ Lalage Clay
3.	Declaration of Interests None received
4.	a. Minutes of the Last Meeting Held on 13 June 2023 The minutes were approved as a true and accurate record. b. Matters Arising and Action Points from the Meeting No outstanding matters arising.
ITEMS FOR CHALLENGE, MONITORING & REVIEW	
5.	a. Newham College Final Audit Findings for year ended 31 July 2023 b. Newham College Draft Annual Report and Financial Statements for year ended 31 July 2023 The Committee noted the following pertinent points: <ul style="list-style-type: none"> ▪ Not anticipating any modifications to the audit report and financial statements. ▪ The audit identified one misstatement regarding remeasurement of pension asset, which has been adjusted, and a further smaller unadjusted misstatement on pension assets. ▪ One risk has been identified, in relation to missing payroll pension submissions, which the College is aware of and has already engaged RSM to assist temporarily on reporting until iTrent is launched. ▪ Several data quality issues have been identified around various ESFA-funded income streams (4 recommendations on Apprenticeships; 1 on AEB and 1 on 16-19 study programmes). None of these affect funding claimed on the ILR. ▪ There are two long-standing issues relating to Newham Foundation which have been repeat findings for many years as there is no easy solution to them. RESOLVED: The Draft Annual Report / Financial Statements for the year ended 31 July 2023 to be recommended to the Corporation Board (13/12/2023) for approval.

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6.	<p>Annual Report of the Audit Committee 2022-2023 The Committee reviewed the annual report of the Audit Committee, which provided details of the work that was carried out by the Committee and concluded to RESOLVE the Annual Report of the Audit Committee 2022-2023 to be recommended to the Corporation Board for approval.</p>
7.	<p>a. Annual Risk Management Report The Committee noted the purpose of the report is for the Committee to review the effectiveness of the College management in mitigating identified risks. The key points to note are as follows:</p> <ul style="list-style-type: none"> ▪ The College identified and monitored/sought to mitigate 17 separate whole-College risks during the last academic year, two fewer than in 2021/22. ▪ By the end of the year, 12 risks had reduced in terms of severity while 5 remained unchanged and no risks increased in severity during the year. The year end risk register was shared with Corporation in October. The Committee reviewed the overall movement in risk levels. ▪ Overall, the Executive team considers that its risk mitigation activities in 2022/23 were effective and furthermore that it has travelled a considerable distance in reducing risk over several consecutive years, against a backdrop of challenging external circumstances. <p>b. Risk Management Policy The Committee noted the risk management policy sets out the College’s approach to risk management. It identifies the responsibilities of the stakeholders within the organisation and the approach to identification, evaluation and effective management of risk.</p> <p>The policy will be formally reviewed and updated every 3 years with the next review due in December 2026.</p> <p>RESOLVED: The Risk Management Policy to be recommended to the Corporation Board (13/12/2023) for approval.</p>
8.	<p>Risk Register Position Update The Committee noted the following pertinent points:</p> <ul style="list-style-type: none"> ▪ The Risk Register has been refreshed for 2023/24 using the same format as previously and reflecting the risk categories proposed to Corporation in October. This register captures College-wide risks, with an expectation that departments will additionally have their own individual risks below this level where appropriate. ▪ The risks have been reviewed both by the College Leadership Team and Scrutton Bland as part of their Risk Management Health Check. ▪ Most of the risks have carried forward in a similar form from last year, either because they are inherent to the nature of the sector’s business model (e.g. recruitment of learners and delivery of funding streams) or because the actions to fully mitigate them had not been completed at the start of the year (e.g. estates regeneration, achieving Cyber Essentials Plus). ▪ One risk (<i>failure to strengthen and improve Marketing and Schools Liaison activities to reverse the decline in 16- 18 learner numbers and support achievement of IoT learner targets</i>) has been completely deleted from the register this year since it is now considered a relative strength.

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9.	<p>INTERNAL AUDIT – RISK ASSURANCE:</p> <p>a. Annual Report Year ended 31 July 2023 The Committee noted that five assurance assignment reports were completed during the 2022/23, resulting in one four significant, and one limited opinion, with the limited assurance report relating to HR. The internal audit service also provided the ESFAs sub-contracting standard report, where an opinion was not provided due to the prescribed nature of the review. In total raising five medium and two high risk recommendations during 2022/23 reviews.</p> <p>b. Risk & Assurance Reports & Recommendations The Committee noted the outcomes and recommendations of the following internal audit reporting:</p> <p>i. Bursary Payment Investigation At the College’s request following an error resulting in significant overpayment of bursaries, albeit most of the overpayment was subsequently recovered, several recommendations have been made which need some thought on how best to implement. Governors asked for reassurance that the recommendations are in place over the year, and received reassurance that Scrutton Bland to undertake an annual review of audit findings.</p> <p>ii. Risk Management Health Check No recommendations were made and four value added points were identified, which the College will implement when appropriate.</p> <p>iii. Sub-contracting Standard The College was found to be partially compliant with new standards. Since the audit, the College has taken a strategic decision to significantly reduce its subcontracting (now just one AEB subcontract) and has employed the services of a specialist contractor to assist in addressing any compliance gaps.</p> <p>iv. Progress Report 2023-24 The Committee reviewed and noted the progress report for 2023/24</p>
10.	<p>a. Health & Safety Policy The Committee noted some minor amendments to the Health and Safety Policy, primarily to reinforce roles and responsibilities around construction sites given the current level of building works on both campuses. RESOLVED: The Health & Safety Policy to be recommended to the Corporation Board (13/12/2023) for approval.</p> <p>b. Health & Safety Annual Report The Committee noted the key health and safety issues in the College during 2022/23, and the progress made on various aspects of compliance, management and communication.</p> <p>The Committee also noted that health and safety is becoming better embedded into College life, particularly with the increasing use of the online system BeOnline. Incident and near miss reporting remains low however and we will continue to promote this. There is also still scope for improvement on the speed of fire evacuations.</p>
11.	<p>a. Safeguarding & Prevent Update The Committee were presented with the safeguarding activities and compliance measures that the College is currently undertaking to keep its learners and staff safe. The report covered analyses of safeguarding activity for the first term and comparison of case types and trends from one academic year to the next, current challenges relating to student behaviour, policy updates and safeguarding recording approaches.</p> <p>The Committee noted, the police schools safer liaison team, have informed the College that a number of vape shops on East Ham High Street have been forced to shut down. The Chair requested that the DSL liaise with Public Health Newham, who can provide support and guidance regarding vaping.</p>

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	<p>b. Safeguarding & Prevent Policy Updates The Committee reviewed the Safeguarding and Prevent policy updates.</p> <p>ACTION COO: The Committee requested for the Safer Recruitment Policy to be presented at the next meeting.</p> <p>RESOLVED: The Safeguarding and Prevent policies to be recommended to the Corporation Board (13/12/2023) for approval.</p>
12.	<p>Cyber Security/Threats Update Report The Committee received an update on the following headlines:</p> <ul style="list-style-type: none"> ▪ Cyber security and cyber threats ▪ Phishing Awareness Campaign ▪ Cyber Essentials Plus. It was pleasing to note the College was successful in achieving Cyber Essentials Plus certification on 19 October 2023 ▪ Frequency of Backups/Implementation of JISC lines ▪ Network Infrastructure Uptime <p>The Chair requested that the committee's appreciation and congratulations be extended to Darren Evans, IT Director and the IT team for their exceptional work in achieving the Cyber Essentials Plus certification.</p>
13.	<p>College Audit Compliance Progress Update: The Committee received a comprehensive update on the funding and compliance audits undertaken by the College's Funding Audit and Compliance Manager.</p> <p>The Committee reviewed the following updates:</p> <p>a. Loans funding and Advanced Level Provision b. Conditions of Funding for English and Maths</p>
14.	<p>Any Other Business The Chair extended a vote of thanks to RSM and Scutton Bland for their hard work and the external scrutiny.</p>
15.	<p>The committee noted the schedule of meetings for 2023-2024, all meetings to commence at 6pm by Teams:</p> <ul style="list-style-type: none"> • 28 February 2024 • 19 June 2024